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|---|--|---|--|
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |  | ATTORNEY DOCKET NUMBER<br><b>JMYT-349US</b>                     |  |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/GB03/04290</b>  |  | INTERNATIONAL FILING DATE<br><b>1 October 2003 (01.10.2003)</b> |  |
| TITLE OF INVENTION<br><b>EXHAUST SYSTEM FOR A DIESEL ENGINE COMPRISING A NO<sub>x</sub>-TRAP</b>  |  | PRIORITY DATE CLAIMED<br><b>5 October 2002 (05.10.2002)</b>     |  |
| APPLICANT(S) FOR DO/EO/US<br><b>TWIGG, Martyn Vincent</b>   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |  |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.   |  |   |  |
| 2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.  |  |   |  |
| 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. |  |   |  |
| 4. <input type="checkbox"/> The US has been elected (Article 31).   |  |   |  |
| 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))  |  |   |  |
| a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).   |  |   |  |
| b. <input type="checkbox"/> has been communicated by the International Bureau.  |  |   |  |
| c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).  |  |   |  |
| 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).  |  |   |  |
| a. <input type="checkbox"/> is attached hereto.   |  |   |  |
| b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).  |  |   |  |
| 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))  |  |   |  |
| a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).  |  |   |  |
| b. <input type="checkbox"/> have been communicated by the International Bureau.   |  |   |  |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.   |  |   |  |
| d. <input type="checkbox"/> have not been made and will not be made.  |  |   |  |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).   |  |   |  |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).   |  |   |  |
| 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).                   |  |   |  |
| <b>Items 11 to 20 below concern document(s) or information included:</b>  |  |   |  |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.  |  |   |  |
| 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.                                     |  |   |  |
| 13. <input type="checkbox"/> A preliminary amendment.   |  |   |  |
| 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.   |  |   |  |
| 15. <input type="checkbox"/> A substitute specification.  |  |   |  |
| 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter.  |  |   |  |
| 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.  |  |   |  |
| 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).  |  |   |  |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).  |  |   |  |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |              |   |         |   |    |
|---|--------------|---|---------|---|----|
| U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><b>10/530,166</b>  |              | INTERNATIONAL APPLICATION NO.<br><b>PCT/GB03/04290</b>                        |         | ATTORNEY DOCKET NUMBER<br><b>JMYT-349US</b> |    |
| 20. Other items or information:<br>Credit Card Payment Form<br>Copy of Notification of Missing Requirements<br>Certificate of Mailing by Express Mail<br>Return Receipt Postcard  |              |   |         |   |    |
| The following fees have been submitted  |              |   |         | <b>CALCULATIONS      PTO USE ONLY</b>       |    |
| 21. <input type="checkbox"/> Basic national fee (37 CFR 1.492(a)) .....\$300  |              |   |         | \$  |    |
| 22. <input type="checkbox"/> Examination Fee (37 CFR 1.492(c))  |              |   |         | \$  |    |
| If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....\$0  |              |   |         |   |    |
| All other situations.....\$200  |              |   |         |   |    |
| 23. <input type="checkbox"/> Search Fee (37 CFR 1.492(b))   |              |   |         | \$  |    |
| If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) .....\$0  |              |   |         |   |    |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Search Authority .....\$100   |              |   |         |   |    |
| International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated by the US by the IB.....\$400  |              |   |         |   |    |
| All other situations.....\$500  |              |   |         |   |    |
| TOTAL OF 21, 22 and 23 =  |              |   |         | \$  |    |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing filed in an electronic medium).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof. |              |   |         |   |    |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE    |   |    |
| - 100 =   | /50 =        |   | x \$250 | \$  |    |
| Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h))  |              |   |         | \$ 130                                      |    |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA  | RATE    |   |    |
| Total Claims  | - 20 =       |   | x \$50  | \$  |    |
| Independent Claims  | - 3 =        |   | x \$200 | \$  |    |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)   |              |   | + \$360 | \$  |    |
| TOTAL OF ABOVE CALCULATIONS =   |              |   |         | \$  |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.  |              |   |         | \$  |    |
| SUBTOTAL =  |              |   |         | \$ 130                                      |    |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).   |              |   |         | \$  |    |
| TOTAL NATIONAL FEE =  |              |   |         | \$ 130                                      |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property  |              |   |         | \$ 40                                       |    |
| TOTAL FEES ENCLOSED =   |              |   |         | \$ 170                                      |    |
|   |              |   |         | Amount to be refunded:                      | \$ |
|   |              |   |         | Amount to be charged                        | \$ |

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- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 18-0350. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:


- ☒ Customer Number 23122  
OR  
☐ RatnerPrestia, P.O. Box 980, Valley Forge, PA 19482  
☐ RatnerPrestia, P.O. Box 1596, Wilmington, DE 19899

Date: October 11, 2005

  
SIGNATURE

Christopher R. Lewis  
NAME

36,201  
REGISTRATION NUMBER

|   |                         |          |                          |
|---|-------------------------|----------|--------------------------|
| <b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b><br>Applicant(s): - Martyn Vincent Twigg   |                         |          | Docket No.<br>JMYT-349US |
| Serial No.<br>10/530,166  | Filing Date<br>Herewith | Examiner | Group Art Unit           |
| Invention: EXHAUST SYSTEM FOR A DIESEL ENGINE COMPRISING A NO <sub>x</sub> -TRAP  |                         |          |                          |
| <p>I hereby certify that the following correspondence:</p> <div style="border: 1px solid black; padding: 10px; min-height: 100px;"><p>Response to Notification of Missing Requirements</p></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to:<br/>Mail Stop PCT,<br/>Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450<br/>on October 11, 2005</p> <div style="text-align: right; margin-top: 20px;"><div style="display: inline-block; text-align: left;"><u>Kathleen Libby</u><br/><i>(Typed or Printed Name of Person Mailing Correspondence)</i></div><div style="display: inline-block; text-align: left; margin-top: 10px;"><br/><i>(Signature of Person Mailing Correspondence)</i></div></div> <div style="text-align: right; margin-top: 20px;"><u>EV 569800962 US</u><br/><i>("Express Mail" Mailing Label Number)</i></div> |                         |          |                          |
| <b>Note: Each paper must have its own certificate of mailing.</b>   |                         |          |                          |

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|   |   |                                |
|---|---|--------------------------------|
| U.S. APPLICATION NUMBER NO.<br>10/530,166 | FIRST NAMED APPLICANT<br>Martyn Vincent Twigg | ATTY. DOCKET NO.<br>JMYT-349US |
|---|---|--------------------------------|

|                               |
|-------------------------------|
| INTERNATIONAL APPLICATION NO. |
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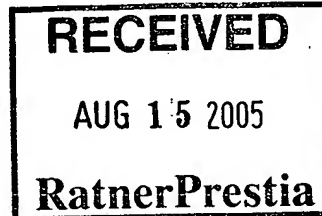
PCT/GB03/04290

|                 |               |
|-----------------|---------------|
| IA. FILING DATE | PRIORITY DATE |
|-----------------|---------------|

10/01/2003

10/05/2002

23122  
RATNERPRESTIA  
P O BOX 980  
VALLEY FORGE, PA 19482-0980



CONFIRMATION NO. 5620  
371 FORMALITIES LETTER



\*OC000000016719785\*

Date Mailed: 08/08/2005

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 04/04/2005
- Copy of the International Search Report filed on 04/04/2005
- Copy of IPE Report filed on 04/04/2005
- Copy of Annexes to the IPER filed on 04/04/2005
- Preliminary Amendments filed on 04/04/2005
- Oath or Declaration filed on 04/04/2005
- Request for Immediate Examination filed on 04/04/2005
- U.S. Basic National Fees filed on 04/04/2005
- Priority Documents filed on 04/04/2005
- Power of Attorney filed on 04/04/2005

*Missing Rea Dir (2mo) 10-8-05*



The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Additional claim fees of **\$450** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.

- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.16(f) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is **\$580** for a Large Entity:

- **\$130** Surcharge.
- Total additional claim fee(s) for this application is **\$ 450**
  - **\$450** for 9 total claims over 20.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PATRICIA A BOOKER

Telephone: (703) 308-9140 EXT 204

**PART 1 - ATTORNEY/APPLICANT COPY**

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 10/530,166                  | PCT/GB03/04290                | JMYT-349US       |